

R10 InfoPage

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Q&D - Office of Compliance & Enforcement - NPDES Compliance Unit Records Disposition Schedule

SERIES DESCRIPTION	DISPOSITION	NARA NUMBER
Link to the common	Link to your full printable	
Housekeeping Schedules	OCE - NCU	
not included in this table	File Plan Spreadsheet	
<p>ADMINISTRATIVE SUPPORT DATABASES: Includes a broad range of primarily PC-based systems used to support administrative or housekeeping functions, containing information derived from paper copy records or from other electronic data systems disposable under NARA's General Records Schedules or an approved Agency records schedule. Examples of these databases include budget preparation, property management, program planning, spending, accounting, activity reporting, and resource allocation.</p> <p>Item a: When hard copy records are retained to meet recordkeeping requirements</p> <p>Item b: When the electronic record replaces hard copy records that support administrative housekeeping functions</p> <p>Item c: Hard copy printouts created for short-term administrative purposes</p> <p>Function: 401 090</p>	<p>Item a: Disposable Delete electronic version when no longer needed for administrative, legal, audit, or other operational purposes.</p> <p>Item b: Disposable Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.</p> <p>Item c: Disposable Destroy when no longer needed for administrative, legal, audit, or other operational purposes.</p>	<p>General Records Schedule 20/3b(1) (Item a)</p> <p>General Records Schedule 20/3b(2) (Item b)</p> <p>General Records Schedule 20/3b(3) (Item c)</p> <p>Status: Final, 3/31/2014</p>
<p>COMPLIANCE FILES: Contains records used to determine compliance with pollution regulations and to recommend legal enforcement actions if necessary. Includes compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, field notebooks, and related documents. Also includes notices of noncompliance, and compliance orders that do not result in enforcement actions.</p> <p>Item a: Record copy</p> <p>Function: 108-025-08 211</p>	<p>Item a: Disposable Close inactive records at end of year. Destroy 5 years after file closure.</p>	<p>N1-412-07-1/10</p> <p>Status: Final, 12/31/2007</p>
<p>CONFIDENTIAL BUSINESS INFORMATION (CBI) ACCESS: Includes records relating to the clearance of persons and companies that require access to confidential business information (CBI) such as trade secrets and commercial or financial information that is claimed privileged or confidential. Contains forms, confidentiality agreements, correspondence, and related documents.</p> <p>Item a: Federal employees</p>	<p>Item a: Disposable Close inactive records when access is terminated. Destroy 2 years after file closure.</p> <p>Item b: Disposable Close inactive records when access is terminated. Destroy 7 years after file closure.</p>	<p>N1-412-07-1/14</p> <p>Status: Final, 03/30/2007</p>

<p>CONTRACT MANAGEMENT RECORDS: Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC). Excludes: Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.</p> <p>Item b: Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)</p> <p>Item c: Other Contracting Officer's Representative (COR) Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)</p> <p>Function: 405 202</p>	<p>Item b: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract.</p> <p>Item c: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract.</p>	<p>N1-412-06-6/5</p> <p>Status: Final, 10/31/2008</p>
<p>DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS: Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.</p> <p>Item a(1): Published or released to the public and related background materials - Nonelectronic</p> <p>Item a(2): Published or released to the public and related background materials - Electronic</p> <p>Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives</p> <p>Item b: Unpublished or not released to the public and related background materials</p> <p>Function: 306-112 007</p>	<p>Item a(1): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records upon decision to not publish or issue. Destroy 10 years after file closure.</p>	<p>N1-412-06-7</p> <p>Status: Final, 12/31/2010</p>
<p>DOCKETS: A docket is a collection of documents available to the public for review and, often, public comment. Dockets may be related to the</p>	<p>Item a: Disposable Close inactive records after publication of rule or close of docket.</p>	<p>N1-412-04-4</p>

<p>docket).</p> <p>Regulatory dockets include records relating to the development of EPA regulations. Records may consist of Federal Register documents (e.g., advance notices of proposed rulemaking, proposed rules, final rules, and notices of availability), background documents (e.g., relevant technical documents and information, technical resource documents, guidance, manuals and directives, contractors' reports supporting the rulemaking, internal documents that provide necessary factual background, and trip reports), correspondence or meeting summaries (e.g., records of communications with outside parties containing relevant information, lists of participants and summary minutes of meetings with external groups, and summaries of telephone conversations containing relevant information), public hearing transcripts and lists of speakers/attendees, public comments submitted to EPA and responses to public comments documents, supporting materials for administrative requirements (e.g., materials relating to the Regulatory Flexibility Act, Executive Order 12866, and other relevant statutes, orders, and policies), and any other material deemed appropriate by the program office.</p> <p>General dockets contain documents made available for public review and, often, comments that may not be related to EPA's regulations. Dockets may be established for an array of non-rulemaking actions. They contain materials relating to actions on which EPA is required to solicit comment such as proposed collections of information under the Paperwork Reduction Act, proposed settlements and agreements in litigation, draft permits, and various types of approvals for state and tribal programs. They may also contain materials EPA is making available for public inspection, but not soliciting comments.</p> <p>Files include comprehensive indices of all materials placed in the Docket.</p> <p>Excludes: The electronic docket management system scheduled as the Federal Docket Management System (FDMS), EPA 152.</p> <p>Item a: Final docket Item b: Inactive, nonfinal docket, and documents of short-term value</p> <p>Function: 404-141-02-03 150</p>	<p>Close inactive records 5 years after last activity.</p> <p>Destroy 5 years after file closure.</p>	
<p>ENFORCEMENT ACTION FILES: Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, field notebooks, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions,</p>	<p>Item a: Disposable</p> <ul style="list-style-type: none"> • Close inactive records upon settlement or closing of case. • Destroy 10 years after file closure. <p>Item b: Disposable</p> <ul style="list-style-type: none"> • Close inactive records upon settlement or closing of case. • Destroy 20 years after file closure. 	<p>N1-412-07-2/9</p> <p>Status: Final, 12/31/2012</p>

<p>documents including consent decrees, discovery requests, and notices of intent to sue.</p> <p>Excludes: Superfund site-specific and oil spill site-specific enforcement actions scheduled as EPA 025 and EPA 480, respectively.</p> <p>Item a: Administrative case files, whether a formal enforcement action is initiated or not</p> <p>Item b: Judicial case files where routine legal actions are required</p> <p>Item c(1): Landmark or precedent cases - Nonelectronic</p> <p>Includes cases as designated by the Regional Administrator's designee.</p> <p>Item c(2): Landmark or precedent cases - Electronic</p> <p>Includes cases as designated by the Regional Administrator's designee.</p> <p>Item c(3): Landmark or precedent cases - Electronic copy of records transferred to the National Archives</p> <p>Includes cases as designated by the Regional Administrator's designee.</p> <p>Function: 108-025-08 207</p>	<ul style="list-style-type: none"> • Transfer to the National Archives in 5 year blocks 20 years after file closure. If record is microform, destroy paper after quality assurance is completed. <p>Item c(2): Permanent</p> <ul style="list-style-type: none"> • Close inactive records upon settlement or closing of case. • Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. <p>Item c(3): Disposable</p> <ul style="list-style-type: none"> • Close file upon transfer to the National Archives. • Delete after electronic record copy is successfully transferred to the National Archives. 	
<p>FEDERAL FACILITIES MONITORING FILES:</p> <p>Contains information used to monitor the environmental controls in use at installations and facilities operated by the federal government, including military installations. Monitoring includes all program areas. Records consist of correspondence with the facilities, survey reports showing inventory of pollution control equipment in use, discharge, and other factors.</p> <p>Excludes: Site-specific records relating to hazardous waste sites at federal facilities submitted under RCRA or CERCLA for preliminary assessments scheduled as EPA 012.</p> <p>Item a: Record copy</p> <p>Function: 108-025-08 137</p>	<p>Item a: Disposable</p> <p>Close inactive records at end of year.</p> <p>Destroy 5 years after file closure.</p>	<p>N1-412-07-1/4</p> <p>Status: Final, 05/31/2009</p>
<p>FINAL DELIVERABLES AND REPORTS:</p> <p>Consists of final draft and final deliverables, products, and reports submitted by contractors and grantees to the Agency, or produced in-house by individuals, committees, or task forces. Also includes final reports resulting from special studies and surveys completed within the Agency.</p> <p>Item a(1): Environmental programs, except Superfund site-specific - Nonelectronic</p> <p>Item a(2): Environmental programs, except Superfund site-specific - Electronic</p> <p>Item a(3): Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives</p> <p>Item b: Superfund site-specific</p> <p>Item c: Non-environmental programs</p> <p>Function: 305-109-01 258</p>	<p>Item a(1):Permanent</p> <p>Close inactive records upon completion of project.</p> <p>Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2):Permanent</p> <p>Close inactive records upon completion of project.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable</p> <p>Close file upon transfer to the National Archives.</p>	<p>N1-412-06-27</p> <p>Status: Final, 2/28/2011</p>

	<p>Item b: Disposable Close inactive records upon completion of project. Destroy 30 years after file closure.</p> <p>Item c: Disposable Close inactive records upon completion of project. Destroy 7 years after file closure.</p>	
<p>INFORMATION REQUESTS AND ACKNOWLEDGMENT FILES: Includes routine requests for information and acknowledgments. Item a: Routine requests for information and replies Includes requests involving no administrative actions, no policy decisions, and no special compilations or research, and requests for and transmittal of publications, photographs, and other information literature. Item b: Acknowledgments and transmittals of inquiries and requests referred elsewhere for reply Function: 305-109-02-04 309</p>	<p>Item a: Disposable Destroy when 3 months old.</p> <p>Item b: Disposable Destroy 3 months after acknowledgment and referral.</p>	<p>GRS 14/1 (Item a) GRS 14/2 (Item b)</p> <p>Status: Final, 02/01/2007</p>
<p>INFORMATION TRACKING SYSTEMS: Consists of a broad range of paper and electronic systems used to track the processing of permits, applications, reports, approvals, and other actions relating to records that are disposable under NARA's General Records Schedules or an approved Agency records schedule. Item a: Record copy Function: 305-109 089</p>	<p>Item a: Disposable Delete when 2 years old, or 2 years after the date of the last entry; whichever is applicable.</p>	<p>GRS 23/8</p> <p>Status: Final, 3/31/2014</p>
<p>PUBLICATIONS & PROMOTIONAL ITEMS: Files consist of general and technical literature and promotional items along with finding aids and indices used to access collections of publications. General and technical literature includes any manuals, handbooks, brochures, newsletters, or pamphlets developed for use by Agency staff or for distribution to regions, states, other government agencies, the regulated community, and the public. Promotional items include brochures, pamphlets, posters, comic books, buttons, and bumper stickers. Also includes official portraits of senior Agency officials. Item a(1): Items depicting EPA's environmental mission activities - Nonelectronic Item a(2): Items depicting EPA's environmental mission activities - Electronic Item a(3): Items depicting EPA's environmental mission activities - Electronic copy of records transferred to the National Archives Item b: Routine publications or promotional items Item c: Working papers and background materials</p>	<p>Item a(1): Permanent Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records after publication or when document becomes obsolete,</p>	<p>N1-412-06-9</p> <p>Status: Final, 04/30/2012</p>

	<p>Item c: Disposable Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities.</p> <p>Destroy 2 years after file closure.</p>	
<p>RESPONSE TO AUDIT, EVALUATION, AND INVESTIGATION: Includes records used to document and track the Agency's response to audit, evaluation, and investigation processes conducted internally (e.g., by Inspector General (IG)), or externally (e.g., by Government Accountability Office (GAO)). Audits and evaluations may be initiated by EPA, by an outside agency with oversight over EPA, or requested by Congress. Records relating to these special projects include controlled and follow-through correspondence, conference materials, issue and position papers, responses, work plans, studies, corrective actions, tracking/milestones and related records.</p> <p>Records related to the Federal Managers Financial Integrity Act (FMFIA) include: documentation of internal control objectives and techniques, work plans, status reports on conduct of internal control reviews, correction of reported material weaknesses, and related materials such as corrective action strategy, audit follow-up, annual assurance letter, and internal control review reports and supporting documentation.</p> <p>Item a: Record copy</p> <p>Function: 301-091 082</p>	<p>Item a: Disposable Close inactive records when corrective action is complete.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-1/2</p> <p>Status: Final, 04/30/2008</p>
<p>SAMPLING AND ANALYTICAL DATA FILES: Records relate to chemical analysis services performed to support the Agency's environmental programs. Includes analysis conducted through the Contract Laboratory Program (CLP), including sample results in the form of current files, purge files, and Sample Management Office (SMO) files. Regional lab records include in-house sampling. Supporting documentation includes document inventory form, data summaries, field sheets, chain of custody, data reports, analyst log books, sample logbooks, data sheets, correspondence, quality assurance and data validation files, quality control summaries, QC data logs and worksheets. Specific types of data packages will include Organic Routine Analytical Services (RAS), Inorganic RAS, Dioxin RAS, High Concentration (HC) and Special Analytical Services (SAS).</p> <p>Excludes: Superfund site-specific sampling and analytical data files scheduled as EPA 018.</p> <p>Item a: Record copy</p> <p>Function: 108-025 223</p>	<p>Item a: Disposable Close inactive records upon completion of sampling activity.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-22/1</p> <p>Status: Final, 6/30/2009</p>
	<p>Item b: Disposable</p>	

<p>EPA-sponsored meetings, and government, civic and professional conferences and meetings. Also contains copies of congressional testimony and expert testimony related to non-EPA cases.</p> <p>Item b: Other federal employees when the speeches are not necessary to document the Agency or its programs</p> <p>Function: 305-109-02-04 140</p>		01/31/2011
<p>STATE AND OTHER ENTITY PROGRAM AUTHORIZATION AND APPROVAL FILES: Contains records that document the process for authorizing operation of a program by states and other entities in lieu of a federal program. Types of records include the application with background and supporting documentation, correspondence, copies of statutes and regulations, interim authorizations, and documentation of public participation activities. Also includes documents relating to EPA's review, evaluation, and determination of the program, development of enforcement and environmental standards, as well as authorization withdrawals as it applies to the initial program authorization and subsequent revisions</p> <p>Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-104-03 204</p>	<p>Item a(1):Permanent Close inactive records at end of year or after new authorization is signed. Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records at end of year or after new authorization is signed. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-2/8</p> <p>Status: Final, 02/29/2008</p>
<p>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES: Contains records used to oversee programs operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions.</p> <p>Item a: Record copy</p> <p>Function: 301-093 203</p>	<p>Item a: Disposable Close inactive records at end of year. Destroy 10 years after file closure.</p>	<p>N1-412-07-1/9</p> <p>Status: Final, 03/30/2007</p>
<p>TRAINING MATERIAL: Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.</p> <p>Excludes: Records for training administered by the Personnel program scheduled as EPA 571.</p> <p>Item a: Routine training materials. Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency.</p>	<p>Item a: Disposable Close inactive records after course or material is superseded. Destroy 5 years after file closure.</p> <p>Item c(1):Permanent Close inactive records after course or material is superseded. Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item c(2): Permanent Close inactive records after course or material is superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p>	<p>N1-412-06-11</p> <p>Status: Final, 04/30/2012</p>

materials used for training in functions or activities related to the environmental goals of the Agency and its programs.

Item c(2): Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.

Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.

National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

Function: 305-109-02-04 **200**

EPA NON-RECORDS: Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts.

Function: 0 **008**

Item a: Disposable

Close when obsolete, superseded or no longer needed for reference.

Destroy immediately after file closure.

NOT APPLICABLE

Status: Final,
02/12/2007

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